

*Drina*

## FILING RECEIPT



\*OC000000005056387\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/506,301	02/17/2000	1643	345	204001	-	20	1

M Daniel Hefner  
Leydig Voit & Mayer LTD  
Two Presidential Plaza Suite 4900  
180 North Stetson  
Chicago, IL 60601-6780

Date Mailed: 04/17/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Joseph C. Glorioso, Cheswick, PA ;  
Xiao Xiao, Wexford, PA ;  
David M. Krisky, Pittsburgh, PA ;

## Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/120,391 02/17/1999

## Foreign Applications

If Required, Foreign Filing License Granted 04/17/2000

\*\* SMALL ENTITY \*\*

LEYDIG, VOIT & MAYER  
RECEIVED

## Title

Adeno-associated viral gene-transfer vector system

APR 21 2000

PAT/TM Due Date

*None*

## Preliminary Class

435

Data entry by : HARRISON, BRUCE

Team : OIPE

Dat : 04/17/2000

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100

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## FORMALITIES LETTER



\*OC00000005056388\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/506,301	02/17/2000	Joseph C. Glorioso	204001

M Daniel Hefner  
Leydig Voit & Mayer LTD  
Two Presidential Plaza Suite 4900  
180 North Stetson  
Chicago, IL 60601-6780



Date Mailed: 04/17/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

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*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/28/2000 NPRASASD 00000064 09506301

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65.00 09

Sector



**PATENT**  
Attorney Docket No. 204001

**THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Glorioso et al.

Group Art Unit: 1643

Serial No. 09/506,301

Examiner: Unassigned

Filed: February 17, 2000

For: ADENO-ASSOCIATED VIRAL  
GENE-TRANSFER VECTOR SYSTEM

**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Applicant hereby responds to the Notice To File Missing Parts of Application dated April 17, 2000.

The items checked below are appropriate:

**1. Status of Applicant**

This application is on behalf of ☐ other than a small entity or ☒ a small entity.

The verified statement ☐ is attached or ☒ was filed on February 17, 2000.

**2. Fees**

Pursuant to 37 C.F.R. § 1.16(e), the surcharge for filing this Response is for ☐ other than a small entity or ☒ a small entity.

**Fee Due** \$65.00

---

**CERTIFICATE OF MAILING**

I hereby certify that this document (along with any documents referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: April 24, 2000

J. Mikitiuk

**3. Documents Submitted Herewith**

- ☒ Executed Declaration of inventors.
- ☐ Verified Statement claiming small entity status.
- ☐ Sequence Listing (and accompanying Preliminary Amendment, Verification, and diskette).
- ☐ Verified English translation of application.
- ☒ Copy of the Notice to File Missing Parts of Application.
- ☐ Other:

**4. Extension Of Term**

The proceedings herein are for a patent application and the provisions of 37 C.F.R. § 1.136 apply.

- ☐ Applicants petition for a one-month extension of time under 37 C.F.R. § 1.136, the fee for which is \$110.00 .
- ☒ Applicants believe that no extension of time is required. However, this conditional petition is being made to provide for the possibility that applicants have inadvertently overlooked the need for a petition and fee for extension of time.

**Extension fee due with this request: \$0.00**

**5. Total Fee Due**

The total fee due is:

Surcharge	\$65.00
Extension Fee (if any)	\$0.00

**Total Fee Due: \$65.00**

**6. Fee Payment**

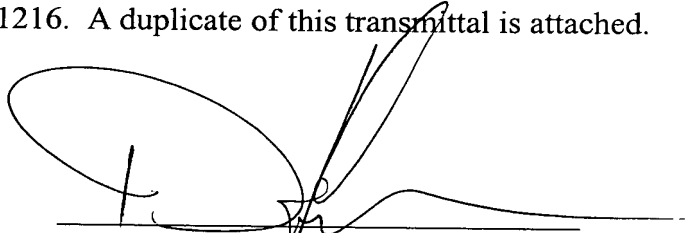
- ☒ Attached is a check in the sum of \$65.00.
- ☐ Charge Account No. 12-1216 the sum of \$ . A duplicate of this transmittal is attached.

In re Appln. of Glorioso et al.  
Serial No. 09/506,301

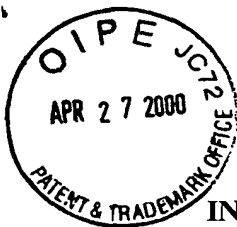
**7. Fee Deficiency**

☒ If any additional fee is required in connection with this communication, charge Account No. 12-1216. A duplicate of this transmittal is attached.

Date: April 24, 2000

A handwritten signature in black ink, appearing to read 'M. Daniel Hefney', is written over a horizontal line. The signature is stylized with a large loop at the beginning and a long, sweeping tail.

M. Daniel Hefney, Reg. No. 41,826  
One of the Attorneys for Applicant(s)  
LEYDIG, VOIT & MAYER, LTD.  
Two Prudential Plaza, Suite 4900  
180 North Stetson  
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(312) 616-5600 (telephone)  
(312) 616-5700 (facsimile)



RECEIPT

FILE COPY

Attorney Docket No. 204001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Glorioso et al.

Serial No. 09/506,301

Filed: February 17, 2000

For: ADENO-ASSOCIATED VIRAL  
GENE-TRANSFER VECTOR  
SYSTEM

CERTIFICATE OF MAILING

April 24, 2000

I hereby certify that the attached correspondence, including any documents or materials referred to thereon as enclosures or attachments, is being deposited with the United States Postal Service on the date shown above with sufficient postage as First-Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

*J. Mikitiuk*

REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Applicants respectfully request that a corrected version of the Official Filing Receipt (copy enclosed) be issued in the above-identified patent application in order to correct an error as follows:

The continuing data as claimed by applicant should read --THIS APPLN CLAIMS BENEFIT OF 60/120,391 02/17/1999--.

Respectfully submitted,

By:

M. Daniel Hefner, Registration No. 41,826  
One of the Attorneys for Applicant(s)  
**LEYDIG, VOIT & MAYER, LTD.**  
Two Prudential Plaza, Suite 4900  
180 North Stetson  
Chicago, Illinois 60601-6780  
(312) 616-5600 (telephone)  
(312) 616-5700 (facsimile)

Date: April 24, 2000

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MAY 10 2000  
TECHNICAL CENTER 1600/2511



Bib Data Sheet


**UNITED STATES DEPARTMENT OF COMMERCE**  
**Patent and Trademark Office**

 Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
 Washington, D.C. 20231

**FILE COPY**

#15

<b>SERIAL NUMBER</b> 09/506,301	<b>FILING DATE</b> 02/17/2000 <b>RULE</b> -	<b>CLASS</b> 435	<b>GROUP ART UNIT</b> 1643	<b>ATTORNEY DOCKET NO.</b> 204001	
<b>APPLICANTS</b> Joseph C. Glorioso, Cheswick, PA ; Xiao Xiao, Wexford, PA ; David M. Krisky, Pittsburgh, PA ;					
<b>** CONTINUING DATA *****</b> THIS APPLN CLAIMS BENEFIT OF 60/120,391 02/17/1999					
<b>** FOREIGN APPLICATIONS *****</b>					
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** SMALL ENTITY **</b> <b>** 04/17/2000</b>					
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after met Allowance Verified and Acknowledged _____ Examiner's Signature Initials		<b>STATE OR COUNTRY</b> PA	<b>SHEETS DRAWING</b> -	<b>TOTAL CLAIMS</b> 20	<b>INDEPENDENT CLAIMS</b> 1
<b>ADDRESS</b> M Daniel Hefner Leydig Voit & Mayer LTD Two Presidential Plaza Suite 4900 180 North Stetson Chicago ,IL 60601-6780					
<b>TITLE</b> Adeno-associated viral gene-transfer vector system					
<b>FILING FEE RECEIVED</b> 410	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit		